

**DATED MATERIALS – OPEN IMMEDIATELY**  
**Closing date: November 12, 2004**

**Fiscal Year 2005**

**Grant Application  
for the  
  
Title VI  
International Research and Studies Program**

***CFDA No. 84.017A***

**OMB No. 1840-00068  
Exp. 09/30/2007**



**International Education and Graduate Programs Service  
U.S. Department of Education  
Washington, DC 20006-8521**

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UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION

Dear Applicant:

Thank you for your interest in the International Research and Studies Program (IRS). Included in this application booklet are the program introduction, and the instructions and forms needed to submit a complete application package to the U.S. Department of Education.

Program officers are available to provide technical assistance if you have any questions after reviewing the application booklet. Please refer to the introduction that follows for the names and telephone numbers of the contact persons.

As a result of frequent requests for the technical review forms used to evaluate applications, we have included them in this application booklet.

Information about the Department's funding opportunities, including application notices for discretionary grant competitions, can be viewed on the U.S. Department of Education web site at: <http://www.ed.gov>. The official application notice for the IRS grant competition is the notice published in the *Federal Register*, and included in this application booklet. Please review the Notice Inviting Applications, contained in this booklet, for the instructions concerning submission of applications and our e-Application system.

We look forward to receiving your application, and appreciate your efforts to meet the country's need for a new generation trained to face the many challenges of this century.

Sincerely,

Wilbert Bryant  
Deputy Assistant Secretary  
for Higher Education Programs

## **INTRODUCTION**

### **INTERNATIONAL RESEARCH AND STUDIES PROGRAM**

#### **CONTACT PERSONS**

Jose L. Martinez, Program Officer  
Phone (202) 502-7635  
Fax (202) 502-7860  
E-mail: jose.martinez @ed.gov

Ed McDermott, Program Officer  
Phone (202) 502-7636  
Fax (202) 502-7860  
E-mail: ed.mcdermott@ed.gov

#### **KEY DATES – FY 2005**

Closing Date: November 12, 2004

Anticipated Award Date: May 2, 2005 (The Department of Education is not bound by the anticipated award date given).

#### **ELIGIBLE APPLICANTS**

Public and private agencies, organizations, institutions and individuals.

#### **PURPOSE**

To improve and strengthen instruction in modern foreign languages, area studies, and other international fields.

#### **PROGRAM ACTIVITIES**

Research and studies that contribute to achieving the purpose of the legislation. Such research and studies may include:

- Studies and surveys to determine the need for increased or improved instruction in:
  - Modern foreign languages; and
  - Area studies and other international fields needed to provide full understanding of the places in which those languages are commonly used.
- Research and studies:
  - On more effective methods of instruction in modern foreign languages, area studies or other international fields; or
  - To determine the demand for international specialists in governmental, educational and the private sector; or
  - To evaluate competency in those foreign languages, area studies, or other international fields; or
  - On the application of performance tests and standards across all areas of foreign language instruction and classroom use.
- Development and publication of specialized materials:
  - For use by students and teachers of modern foreign languages, area studies, and other international fields; and
- Comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education.

- Studies and surveys of the uses of technology in foreign language area studies, and international studies.
- Studies and evaluation of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques.
- The application of performance tests and standards across all areas of foreign language instruction and classroom use.

#### **EXPECTED FUNDING LEVELS – FY 2005**

Amounts are anticipated only, the U.S. Department of Education is not bound by the estimates given below.

- Estimated amount funds available for new awards FY 2005: \$ 1,904,083
- Estimated number of new awards: 17
- Estimated average new award: \$112,000

#### **LIMITATION ON THE USE OF FUNDS/COST SHARING REQUIREMENTS**

Funds awarded may not be used for the training of students and teachers.

No cost-sharing is required.

#### **e-APPLICATION REQUIREMENTS**

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

ATTENTION: For additional information on e-grants, including the requirements for requesting a waiver, please consult the Notice of Closing Date published in the *Federal Register* and contained in this application package,

ALL FEDERAL FORMS, including standard form 424 that accompany this electronic submission MUST be filled out on paper and faxed to US/ED within 3 business days of the closing date. Please print the forms, complete them, sign them and fax them to US/ED's Application Control Center at (202) 260-1349.

## **NOTICE INVITING APPLICATIONS FOR NEW AWARDS FOR FISCAL YEAR 2005**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

International Research and Studies Program

Notice inviting applications for new awards for fiscal year (FY)  
2005.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.017A

Dates:

Applications Available: September 24, 2004.

Deadline for Transmittal of Applications: November 12, 2004.

Eligible Applicants: Public and private agencies, organizations,  
institutions, and individuals.

Estimated Available Funds: The Administration has requested  
\$1,904,083 for new awards under this program for FY 2005. The  
actual level of funding, if any, depends on final congressional  
action. However, we are inviting applications to allow enough  
time to complete the grant process if Congress appropriates funds  
for this program.

Estimated Range of Awards: \$55,000 - \$160,000 per year.

Estimated Average Size of Awards: \$112,000.

Estimated Number of Awards: 17.

Note: The Department is not bound by any estimates in this  
notice.

Project Period: Up to 36 months.

## Full Text of Announcement

### I. Funding Opportunity Description

Purpose of Program: The International Research and Studies Program provides grants to conduct research and studies to improve and strengthen instruction in modern foreign languages, area studies, and other international fields.

Priorities: In accordance with 34 CFR 75.105(b)(2)(ii), these priorities are from eligible projects described in the regulations for this program (34 CFR 660.10, 660.34).

Invitational Priorities: For FY 2005 these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

#### Invitational Priority 1:

Research, surveys, studies or the development of instructional materials that are nonbiased, factually accurate and solicitous of diverse views, and that serve to enhance international understanding for use at the elementary and secondary education levels, or for use in teacher education programs.

#### Invitational Priority 2:

The development of instructional materials that are nonbiased, factually accurate and solicitous of diverse views on the Middle

East, Central Asia, and South Asia or the languages spoken in these regions.

Program Authority: 20 U.S.C. 1125.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 82, 84, 85, 86, 97, 98, and 99. (b) The regulations in 34 CFR part 655. (c) The regulations in 34 CFR part 660.

Note: The regulations in 34 CFR Part 86 apply to institutions of higher education only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$1,904,083 for new awards under this program for FY 2005. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: \$55,000 - \$160,000 per year.

Estimated Average Size of Awards: \$112,000.

Estimated Number of Awards: 17.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

## III. Eligibility Information



1. Eligible Applicants: Public and private agencies, organizations, institutions, and individuals.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: Mr. Jose L. Martinez, U.S. Department of Education, 1990 K Street, NW, room 6010, Washington, DC 20006-8521. Telephone: (202) 502-7635 or by e-mail: jose.martinez@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program. Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the narrative to the equivalent of 25 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch). However, you may use a 10-point font in charts, tables, figures, and graphs.
- The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract or the appendices. However, you must include your complete response to the selection criteria in the application narrative.

We will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

### 3. Submission Dates and Times:

Applications Available: September 24, 2004.

Deadline for Transmittal of Applications: November 12, 2004.

We do not consider an application that does not comply with the deadline requirements.

We are requiring that applications for grants under this program be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-GRANTS system. For information (including dates

and times) about how to submit your application electronically through the e-GRANTS system or to request a waiver of the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements in this notice.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR Part 79.

Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: We are requiring that applications for grants under this program be submitted electronically, unless the applicant requests a waiver of this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the International Research and Studies Program - CFDA Number 84.017A must be submitted electronically using e-Application available through the Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at: <http://e-grants.ed.gov>.

Unless a waiver of the electronic submission requirement has been requested by the applicant in accordance with the procedures in this section, all portions of the application must be submitted electronically.

If you are unable to submit an application through the e-GRANTS system, you must submit a written request for a waiver of

the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. You should address this request to: Mr. Jose L. Martinez, International Education Programs Service, U.S. Department of Education, 1990 K Street, NW, 6<sup>th</sup> floor, Washington, DC 20006-8521. Please submit the request no later than two weeks before the application deadline date. Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

If, within two weeks of the application deadline date, you are unable to submit an application electronically, you must submit a paper application in accordance with the mail or hand delivery instructions described in this notice. The paper application must include a written request for a waiver documenting the reasons that prevented you from using the Internet to submit your application.

When using e-Application to complete the application, you will be entering data online. Do not e-mail an electronic copy of any part of a grant application to us. The data that is entered online will be saved into a database.

If you participate in e-Application, please note the following:

- You must submit the grant application electronically through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m., Washington, DC time, on the application deadline date. The regular hours of operation of

the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site. We strongly recommend that you do not wait until the application deadline date to initiate an e-Application package.

- You will not receive additional point value because you submit the application in electronic format, nor will we penalize you if you request a waiver and submit the application in paper format because you were prevented from submitting the application electronically as required.
- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424) and all necessary assurances and certifications.
- Your e-Application must comply with any page limit requirements described in this notice.
- After you submit your application to the Department, you will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
- Within three working days after you submit your electronic application, you must fax a signed copy of the Application for

Federal Education Assistance (ED 424) to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
  2. The applicant's Authorizing Representative must sign this form.
  3. Place the PR/Award number in the upper right hand corner of the hard copy signature page of the ED 424. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.
- We may request that you give us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of System

Unavailability: If you are prevented from submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

1. The applicant's Project Director is a registered user of e-Application and has initiated an e-Application for this competition; and
2. (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or  
(b) The e-Application system is unavailable for any period of time during the last hour of operation (that is, for any period

of time between 3:30 p.m. and 4:30 p.m., Washington, DC time) on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-GRANTS help desk at 1-888-336-8930.

b. Submission of Paper Applications by Mail.

If you have requested a waiver of the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your paper application to the Department.

The original and two copies of the application must be mailed on or before the application deadline date to the following address:

U.S. Department of Education

Application Control Center

Attention: (CFDA Number 84.017A)

400 Maryland Avenue, SW.

Washington, D.C. 20202

You must show proof of mailing consisting of one of the following:

1. A legibly dated U.S. Postal Service Postmark;
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
3. A dated shipping label, invoice, or receipt from a commercial carrier; or

4. Any other proof of mailing acceptable to the U.S. Secretary of Education.

If you mail the application through the U.S. Postal Service, please note that we do not accept either of the following as proof of mailing:

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service. If your application is post marked after the application deadline date, we will notify you that we will not consider the application.

Note: Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, applicants should check with their local post office.

c. Submission of Paper Applications by Hand Delivery.

If you have requested a waiver of the electronic submission requirement, you (or a courier service) may deliver the paper application to the Department by hand. The original and two copies of your application must be hand-delivered on or before the application deadline date to the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.017A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, D.C. 20202-4260



The Application Control Center accepts deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, D.C. time, except Saturdays, Sundays and Federal holidays. A person delivering an application must show identification to enter the building.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

1. You must indicate on the envelope and if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting the application.

2. The Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the mailing of your application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

Selection Criteria: The selection criteria for this program are in 34 CFR sections 655.31, 660.31, 660.32, and 660.33.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. Grantees are required to use the electronic data instrument Evaluation of Exchange, Language, International, and Area Studies (EELIAS) system to complete the final report. Instructional materials electronically formatted as CDs, DVDs, videos, computer diskettes and books produced by the grantee, as part of the grant approved activities are also acceptable as final reports.

#### VII. Agency Contact

For Further Information Contact: Mr. Jose L. Martinez, U.S. Department of Education, 1990 K Street, NW., Room 6010,

Washington, DC 20006-8521. Telephone: (202) 502-7635 or by e-mail: jose.martinez@ed.gov

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Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

#### VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/news/fedregister>

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated: September 23, 2004

Sally L. Stroup,  
Assistant Secretary, Office of  
Postsecondary Education.

## **TITLE VI – INTERNATIONAL EDUCATION PROGRAMS**

### **SEC. 601. INTERNATIONAL AND FOREIGN LANGUAGE STUDIES.**

Part A of title VI (20 U.S.C. 1121 et seq.) is amended to read as follows:

#### **PART A--INTERNATIONAL AND FOREIGN LANGUAGE STUDIES**

##### **SEC. 601. FINDINGS AND PURPOSES.**

(a) FINDINGS- Congress finds as follows:

(1) The security, stability, and economic vitality of the United States in a complex global era depend upon American experts in and citizens knowledgeable about world regions, foreign languages, and international affairs, as well as upon a strong research base in these areas.

(2) Advances in communications technology and the growth of regional and global problems make knowledge of other countries and the ability to communicate in other languages more essential to the promotion of mutual understanding and cooperation among nations and their peoples.

(3) Dramatic post-Cold War changes in the world's geopolitical and economic landscapes are creating needs for American expertise and knowledge about a greater diversity of less commonly taught foreign languages and nations of the world.

(4) Systematic efforts are necessary to enhance the capacity of institutions of higher education in the United States for--

(A) producing graduates with international and foreign language expertise and knowledge; and

(B) research regarding such expertise and knowledge.

(5) Cooperative efforts among the Federal Government, institutions of higher education, and the private sector are necessary to promote the generation and dissemination of information about world regions, foreign languages, and international affairs throughout education, government, business, civic, and nonprofit sectors in the United States.

(b) PURPOSES- The purposes of this part are--

(1)(A) to support centers, programs, and fellowships in institutions of higher education in the United States for producing increased numbers of trained personnel and research in foreign languages, area studies, and other international studies;

(B) to develop a pool of international experts to meet national needs;

(C) to develop and validate specialized materials and techniques for foreign language acquisition and fluency, emphasizing (but not limited to) the less commonly taught languages;

(D) to promote access to research and training overseas; and

(E) to advance the internationalization of a variety of disciplines throughout undergraduate and graduate education;

(2) to support cooperative efforts promoting access to and the dissemination of international and foreign language knowledge, teaching materials, and research, throughout education, government, business, civic, and nonprofit sectors in the United States, through the use of advanced technologies; and

(3) to coordinate the programs of the Federal Government in the areas of foreign language, area studies, and other international studies, including professional international affairs education and research.

## **SEC. 605. RESEARCH; STUDIES; ANNUAL REPORT**

(a) **AUTHORIZED ACTIVITIES-** The Secretary may, directly or through grants or contracts, conduct research and studies that contribute to achieving the purposes of this part. Such research and studies may include-

(1) studies and surveys to determine needs for increased or improved instruction in foreign language, area studies, or other international fields, including the demand for foreign language, area, and other international specialists in government, education, and the private sector;

(2) studies and surveys to assess the utilization of graduates of programs supported under this title by governmental, educational, and private sector organizations and other studies assessing the outcomes and effectiveness of programs so supported;

(3) evaluation of the extent to which programs assisted under this title that address national needs would not otherwise be offered;

(4) comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education;

(5) research on more effective methods of providing instruction and achieving competency in foreign languages, area studies, or other international fields;

(6) the development and publication of specialized materials for use in foreign language, area studies, and other international fields, or for training foreign language, area, and other international specialists;

(7) studies and surveys of the uses of technology in foreign language, area studies, and international studies programs;

(8) studies and evaluations of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques throughout the education community, including elementary and secondary schools; and

(9) the application of performance tests and standards across all areas of foreign language instruction and classroom use.

(b) **ANNUAL REPORT-** The Secretary shall prepare, publish, and announce an annual report listing the books and research materials produced with assistance under this section.

[Code of Federal Regulations]  
[Title 34, Volume 3]  
[Revised as of July 1, 2001]  
[CITE: 34CFR655]

## **TITLE 34--EDUCATION**

### **CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION**

#### **PART 655—INTERNATIONAL EDUCATION PROGRAMS--GENERAL PROVISIONS**

##### **Subpart A--General**

Sec.

655.1 Which programs do these regulations govern?

655.3 What regulations apply to the International Education Programs?

655.4 What definitions apply to the International Education Programs?

##### **Subpart B--What Kinds of Projects Does the Secretary Assist?**

655.10 What kinds of projects does the Secretary assist?

##### **Subpart C [Reserved]**

##### **Subpart D--How Does the Secretary Make a Grant?**

655.30 How does the Secretary evaluate an application?

655.31 What general selection criteria does the Secretary use?

655.32 What additional factors does the Secretary consider in making grant awards?

Authority: 20 U.S.C 1121-1130b, unless otherwise noted.

Source: 47 FR 14116, Apr. 1, 1982, unless otherwise noted.

##### **Subpart A--General**

##### **Sec. 655.1 Which programs do these regulations govern?**

The regulations in this part govern the administration of the following programs in international education:

(a) The National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies (section 602 of the Higher Education Act of 1965, as amended);

(b) The Language Resource Centers Program (section 603);

(c) The Undergraduate International Studies and Foreign Language Program (section 604);

(d) The International Research and Studies Program (section 605); and

(e) The Business and International Education Program (section 613).

(Authority: 20 U.S.C. 1121-1130b)

[47 FR 14116, Apr. 1, 1982, as amended at 58 FR 32575, June 10, 1993; 64CFR 7739, Feb. 16, 1999]

##### **Sec. 655.3 What regulations apply to the International Education Programs?**

The following regulations apply to the International Education Programs:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

(3) 34 CFR part 77 (Definitions that Apply to Department Regulations).

(4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities), except that part 79 does not apply to 34 CFR parts 660, 669, and 671.

(5) 34 CFR part 82 (New Restrictions on Lobbying).

(6) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part 655; and

(c) As appropriate, the regulations in--

(1) 34 CFR part 656 (National Resource Centers Program for Foreign Language and Area Studies or Foreign Language and International Studies);

(2) 34 CFR part 657 (Foreign Language and Area Studies Fellowships Program);

(3) 34 CFR part 658 (Undergraduate International Studies and Foreign Language Program);

(4) 34 CFR part 660 (International Research and Studies Program);

(5) 34 CFR part 661 (Business and International Education Program); and

(6) 34 CFR part 669 (Language Resource Centers Program).

(Authority: 20 U.S.C. 1121-1127; 1221e-3)

[47 FR 14116, Apr. 1, 1982, as amended at 58 FR 32575, June 10, 1993; 64 FR 7739, Feb. 16, 1999]

#### **Sec. 655.4 What definitions apply to the International Education Programs?**

(a) Definitions in EDGAR. The following terms used in this part and 34 CFR parts 656, 657, 658, 660, 661, and 669 are defined in 34 CFR part 77:

Acquisition	EDGAR	Grant period	Private
Applicant	Equipment	Local educational	Public
Application	Facilities	agency	Secretary
Award	Fiscal year	Nonprofit	State educational agency
Budget	Grant	Project	Supplies
Contract	Grantee	Project period	

(Authority: 20 U.S.C. 1121-1127)

(b) Definitions that apply to these programs: The following definition applies to International Education Programs:

Combination of institutions of higher education means a group of institutions of higher education that have entered into a cooperative arrangement for the purpose of carrying out a common objective, or a public or private nonprofit agency, organization, or institution designated or created by a group of institutions of higher education for the purpose of carrying out a common objective on their behalf.

Critical languages means each of the languages contained in the list of critical languages designated by the Secretary pursuant to section 212(d) of the Education for



Economic Security Act, except that, in the implementation of this definition, the Secretary may set priorities according to the purposes of title VI of the Higher Education Act of 1965, as amended.

Institution of higher education means, in addition to an institution that meets the definition of section 101(a) of the Higher Education Act of 1965, as amended, an institution that meets the requirements of section 101(a) except that (1) it is not located in the United States, and (2) it applies for assistance under title VI of the Higher Education Act of 1965, as amended, in consortia with institutions that meet the definitions in section 101(a).

(Authority: 20 U.S.C. 1121-1127, and 1141)

[47 FR 14116, Apr. 1, 1982, as amended at 58 FR 32575, June 10, 1993; 64 FR 7739, Feb. 16, 1999]

## **Subpart B--What Kinds of Projects Does the Secretary Assist?**

### **Sec. 655.10 What kinds of projects does the Secretary assist?**

Subpart B of 34 CFR parts 656, 657, 658, 660, 661, and 669 describes the kinds of projects that the Secretary assists under the International Education Programs.

(Authority: 20 U.S.C. 1021-1027)

[47 FR 14116, Apr. 1, 1982, as amended at 58 FR 32575, June 10, 1993, 64 FR 7739, Feb. 16, 1999]

## **Subpart C [Reserved]**

## **Subpart D--How Does the Secretary Make a Grant?**

### **Sec. 655.30 How does the Secretary evaluate an application?**

The Secretary evaluates an applications for International Education Programs on the basis of--

- (a) The general criteria in Sec. 655.31; and
- (b) The specific criteria in, as applicable, subpart D of 34 CFR parts 658, 660, 661, and 669.

(Authority: 20 U.S.C. 1121-1127)

[64 FR 7739, Feb. 16, 1999]

### **Sec. 655.31 What general selection criteria does the Secretary use?**

(a) Plan of operation. (1) The Secretary reviews each application for information that shows the quality of the plan of operation for the project.

(2) The Secretary looks for information that shows—

- (i) High quality in the design of the project;
- (ii) An effective plan of management that ensures proper and efficient administration of the project;
- (iii) A clear description of how the objectives of the project relate to the purpose of the program;
- (iv) The way the applicant plans to use its resources and personnel to achieve each objective; and

(v) A clear description of how the applicant will provide equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented, such as—

- (A) Members of racial or ethnic minority groups;
- (B) Women; and
- (C) Handicapped persons.

(b) Quality of key personnel. (1) The Secretary reviews each application for information that shows the quality of the key personnel the applicant plans to use on the project.

(2) The Secretary looks for information that shows--

(i) The qualifications of the project director (if one is to be used);

(ii) The qualifications of each of the other key personnel to be used in the project. In the case of faculty, the qualifications of the faculty and the degree to which that faculty is directly involved in the actual teaching and supervision of students; and

(iii) The time that each person referred to in paragraphs (b)(2) (i) and (ii) of this section plans to commit to the project; and

(iv) The extent to which the applicant, as part of its nondiscriminatory employment practices, encourages applications for employment from persons who are members of groups that have been traditionally underrepresented, such as members of racial or ethnic minority groups, women, handicapped persons, and the elderly.

(3) To determine the qualifications of a person, the Secretary considers evidence of past experience and training, in fields related to the objectives of the project, as well as other information that the applicant provides.

(c) Budget and cost effectiveness. (1) The Secretary reviews each application for information that shows that the project has an adequate budget and is cost effective.

(2) The Secretary looks for information that shows--

- (i) The budget for the project is adequate to support the project activities; and
- (ii) Costs are reasonable in relation to the objectives of the project.

(d) Evaluation plan. (1) The Secretary reviews each application for information that shows the quality of the evaluation plan for the project.

(2) The Secretary looks for information that shows methods of evaluation that are appropriate for the project and, to the extent possible, are objective and produce data that are quantifiable.

(e) Adequacy of resources. (1) The Secretary reviews each application for information that shows that the applicant plans to devote adequate resources to the project.

(2) The Secretary looks for information that shows--

(i) Other than library, facilities that the applicant plans to use are adequate (language laboratory, museums, etc.); and

(ii) The equipment and supplies that the applicant plans to use are adequate.

(Authority: 20 U.S.C. 1121-1127)

### **Sec. 655.32 What additional factors does the Secretary consider in making grant awards?**

Except for 34 CFR parts 656, 657, and 661, to the extent practicable and consistent with the criterion of excellence, the Secretary seeks to achieve an equitable distribution of funds throughout the Nation.

(Authority: 20 U.S.C. 1126(b)).  
[58 FR 32575, June 10, 1993]

[Code of Federal Regulations]  
[Title 34, Volume 3]  
[Revised as of July 1, 2001]  
[CITE: 34CFR669]

## **TITLE 34--EDUCATION**

### **CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION, DEPARTMENT OF EDUCATION SECTION 34CFR660**

[Code of Federal Regulations]  
[Title 34, Volume 3, Parts 400 to End]  
[Revised as of July 1, 1999]  
[CITE: 34CFR660.1]

## **TITLE 34--EDUCATION DEPARTMENT OF EDUCATION**

### **PART 660--THE INTERNATIONAL RESEARCH AND STUDIES PROGRAM**

#### **SUBPART A— WHAT IS THE INTERNATIONAL RESEARCH AND STUDIES PROGRAM?**

**Sec. 660.1 What is the International Research and Studies Program?** The Secretary may, directly or through grants or contracts, conduct research and studies which contribute to the purposes of the International Education Program authorized by part A of title VI of the Higher Education Act of 1965, as amended (HEA). The research and studies may include, but are not limited to—

- (a) Studies and surveys to determine needs for increased or improved instruction in modern foreign languages, area studies, or other international fields, including the demand for foreign language, area, and other international specialists in government, education, and the private sector;
- (b) Research on more effective methods of providing instruction and achieving competency in foreign languages, area studies, or other international fields;
- (c) Research on applying performance tests and standards across all areas of foreign language instruction and classroom use;
- (d) Developing and publishing specialized materials for use in foreign language, area studies, and other international fields or for training foreign language, area, and other international specialists;
- (e) Studies and surveys to assess the use of graduates of programs supported under title VI of the HEA by governmental, educational, and private-sector organizations and other studies assessing the outcomes and effectiveness of supported programs;
- (f) Comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education;
- (g) Evaluations of the extent to which programs assisted under title VI of the HEA that address national needs would not otherwise be offered;
- (h) Studies and surveys of the use of technologies in foreign language, area studies, and international studies programs; and
- (i) Studies and evaluations of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques throughout the educational community, including elementary and secondary schools.

(Authority: 20 U.S.C. 1125)

[47 FR 14124, Apr. 1, 1982, as amended at 58 FR 32577, June 10, 1993; 64 FR 7740, Feb. 16, 1999]

**Sec. 660.2 Who is eligible to apply for grants under this program?**

Public and private agencies, organizations, and institutions, and individuals are eligible to apply for grants under this part.

(Authority: 20 U.S.C. 1125)

**Sec. 660.3 What regulations apply?**

The following regulations apply to this program:

- (a) The regulations in 34 CFR part 655.
- (b) The regulations in this part 660.

(Authority: 20 U.S.C. 1121-1125)

[58 FR 32577, June 10, 1993]

**Sec. 660.4 What definitions apply to the International Research and Studies Program?**

The definitions in 34 CFR 655.4 apply to this program. (Authority: U.S.C. 1121-1127)

**SUBPART B— WHAT KINDS OF PROJECTS DOES THE SECRETARY ASSIST UNDER THIS PROGRAM?**

**Sec. 660.10 What activities does the Secretary assist?**

An applicant may apply for funds to carry out any of the following types of activities:

- (a) Studies and surveys to determine the need for increased or improved instruction in—
  - (1) Modern foreign languages; and
  - (2) Area studies and other international fields needed to provide full understanding of the places in which those languages are commonly used.
- (b) Research and studies—
  - (1) On more effective methods of instruction and achieving competency in modern foreign languages, area studies, or other international fields;
  - (2) To evaluate competency in those foreign languages, area studies, or other international fields; or
  - (3) On the application of performance tests and standards across all areas of foreign language instruction and classroom use.
- (c) The development and publication of specialized materials—
  - (1) For use by students and teachers of modern foreign languages, area studies, and other international fields; and
  - (2) For use in—
    - (i) Providing such instruction and evaluation; or
    - (ii) Training individuals to provide such instruction and evaluation.
- (d) Research, surveys, studies, or the development of instructional materials that serve to enhance international understanding.
- (e) Other research or material development projects that further the purposes of the International Education Program authorized by part A of title VI of the HEA.

- (f) Studies and surveys to assess the use of graduates of programs supported under title VI of the HEA by governmental, educational, and private-sector organizations, and other studies assessing the outcomes and effectiveness of supported programs.
- (g) Comparative studies of the effectiveness of strategies to provide international capabilities at institutions of higher education.
- (h) Evaluations of the extent to which programs assisted under title VI of the HEA that address national needs would not otherwise be offered.
- (i) Studies and surveys of the uses of technology in foreign language, area studies, and international studies programs.
- (j) Studies and evaluations of effective practices in the dissemination of international information, materials, research, teaching strategies, and testing techniques through the education community, including elementary and secondary schools.

(Authority: 20 U.S.C. 1125)[47 FR 14124, Apr. 1, 1982, as amended at 52 FR 28424, July 29, 1987; 58 FR 32577, June 10, 1993; 64 FR 7740, Feb. 16, 1999]

## **SUBPART C [RESERVED]**

## **SUBPART D—HOW DOES THE SECRETARY MAKE A GRANT?**

### **Sec. 660.30 How does the Secretary evaluate an application?**

- (a) The Secretary evaluates an application for a research project, a study, or a survey on the basis of the criteria in Secs. 660.31 and 660.32.
- (b) The Secretary evaluates an application for the development of specialized instructional materials on the basis of the criteria in Secs. 660.31 and 660.33
- (c) The Secretary awards up to 100 possible points for these criteria. The maximum possible points for each criterion are shown in parentheses.

(Authority: 20 U.S.C. 1125)

### **Sec. 660.31 What selection criteria does the Secretary use for all applications for a grant?**

The Secretary uses the following criteria in evaluating applications for research or studies projects:

- (a) Plan of operation. (10 points) (See 34 CFR 655.31(a))
- (b) Quality of key personnel. (10 points) (See 34 CFR 655.31(b))
- (c) Budget and cost effectiveness. (10 points) (See 34 CFR 655.31(c))
- (d) Evaluation plan. (5 points) (See 34 CFR 655.31(d))
- (e) Adequacy of resources. (5 points) (See 34 CFR 655.31(e))

(Authority: 20 U.S.C. 1125)

[47 FR 14124, Apr. 1, 1982, as amended at 58 FR 32577, June 10, 1993]

### **Sec. 660.32 What additional selection criteria does the Secretary use for an application for a research project, a survey, or a study?**

In addition to the criteria referred to in Sec. 660.31, the Secretary applies the following criteria to an application for a research project, study, or survey:

- (a) Need for the project. (10 points) The Secretary reviews each application for information that shows—
  - (1) A need for the proposed project in the field of study on which the project focuses; and

- (2) That the proposed project will provide information about the present and future needs of the United States for study in foreign language and other international fields.
- (b) Usefulness of expected results. (10 points) The Secretary reviews each application for information that shows the extent to which the results of the proposed project are likely to be used by other research projects or programs with similar objectives.
- (c) Development of new knowledge. (10 points) The Secretary reviews each application for information that shows that the extent to which the proposed project is likely to develop new knowledge that will contribute to the purposes of the International Education Program authorized by part A of title VI of the HEA.
- (d) Formulation of problems and knowledge of related research. (10 points) The Secretary reviews each application for information that shows that problems, questions, or hypotheses to be dealt with by the applicant—
  - (1) Are well formulated; and
  - (2) Reflect adequate knowledge of related research.
- (e) Specificity of statement of procedures. (10 points) The Secretary reviews each application for the specificity and completeness of the statement of procedures to be followed, including a discussion of such components as sampling techniques, controls, data to be gathered, and statistical and other analyses to be undertaken.
- (f) Adequacy of methodology and scope of project. (10 points) The Secretary reviews each application for information that shows—
  - (1) The adequacy of the proposed teaching, testing, and research methodology; and
  - (2) The size, scope, and duration of the proposed project.

(Authority: 20 U.S.C. 1125)[47 FR 14124, Apr. 1, 1982, as amended at 58 FR 32577, June 10, 1993]

**Sec. 660.33 What additional selection criteria does the Secretary use for an application to develop specialized instructional materials?**

In addition to the criteria referred to in Sec. 660.31, the Secretary applies the following criteria to an application for assistance to develop specialized instructional materials.

- (a) Need for the project. (10 points) The Secretary reviews each application for information that shows that—
  - (1) The proposed materials are needed in the educational field of study on which the project focuses; and
  - (2) The language or languages, the area, region, or country, or the issues or studies for which the materials are to be developed, are of sufficient priority and significance to the national interest to warrant financial support by the Federal Government.
- (b) Potential for the use of materials in other programs. (10 points) The Secretary reviews each application for information that shows the extent to which the proposed materials may be used elsewhere in the United States.
- (c) Account of related materials. (10 points) The Secretary reviews each application for information that shows that—
  - (1) All existing related or similar materials have been accounted for and the critical commentary on their adequacy is appropriate and accurate; and
  - (2) The proposed materials will not duplicate any existing adequate materials.
- (d) Likelihood of achieving results. (10 points) The Secretary reviews each application for information that shows that the outlined methods and procedures for preparing the materials are practicable and can be expected to produce the anticipated results.

- (e) Expected contribution to other programs. (10 points) The Secretary reviews each application for information that shows the extent to which the proposed work may contribute significantly to strengthening, expanding, or improving programs of foreign language studies, area studies, or international studies in the United States.
- (f) Description of final form of materials. (5 points) The Secretary reviews each application for information that shows a high degree of specificity in the description of the contents and final form of the proposed materials.
- (g) Provisions for pretesting and revision. (5 points) The Secretary reviews each application for information that shows that adequate provision has been made for—
  - (1) Pretesting the proposed materials; and
  - (2) If necessary, revising the proposed materials before publication.

(Authority: 20 U.S.C. 1125)[47 FR 14124, Apr. 1, 1982, as amended at 58 FR 32577, June 10, 1993]

**Sec. 660.34 What priorities may the Secretary establish?**

- (a) The Secretary may each year select for funding from among the following priorities:
  - (1) Categories of eligible projects described in Sec. 660.10.
  - (2) Specific languages or regions for study or materials development; for example, the Near or Middle East, South Asia, Southeast Asia, Eastern Europe, Inner Asia, the Far East, Africa or Latin America, or the languages of those regions.
  - (3) Topics of research and studies; for example, language acquisition processes, methodology of foreign language instruction, foreign language performance testing, or assessments of resources and needs.
  - (4) Levels of education; for example, elementary, secondary, postsecondary or university-level education, or teacher education.
- (b) The Secretary announces any priorities in the application notice published in the Federal Register.

(Authority: 20 U.S.C. 1126)  
[47 FR 14124, Apr. 1, 1982, as amended at 58 FR 32577, June 10, 1993]

**Sec. 660.40 What are the limitations on allowable costs?**

Funds awarded under this part may not be used for the training of students and teachers.

(Authority: 20 U.S.C. 1125)

## **COMMONLY ASKED QUESTIONS AND ANSWERS**

**Q. What happens to my application after it is received in the Department?**

A. The Department's Application Control Center receives each application, assigns each an identifying number (PR/Award number), confirms receipt of applications, and sends the applications to the appropriate program office, which screens them for eligibility. The program conducts a peer review of all eligible applications sent to a program competition, ranks them and recommends the highest ranked applications for funding with exceptions as provided by law. The responsible official for the program reviews the program office's recommendations, checks the adequacy of the documentation supporting the recommendations, and approves a final list, or slate, of recommended projects and funding amounts. The final slate is the basis on which grants are negotiated.

**Q. What happens to my application if the Department finds it to be ineligible?**

A. The Department returns an application that does not meet the eligibility criteria for the particular program. A letter from the Department explaining why it is not being reviewed in the competition accompanies the application.

**Q. How does the Department review an application?**

A. Each application is assessed by knowledgeable persons from outside the Department who are asked for their judgments about the quality and significance of the proposed project. These persons represent a diversity of disciplines and institutional, regional, and academic backgrounds.

**Q. What criteria do the reviewers use when scoring an application?**

A. Reviewers score each application using the selection criteria in 34 CFR parts 655.31, 660.32 or 660.33 and incorporated in the enclosed technical review forms.

**Q. Is a recommended application guaranteed funding?**

A. No. Funding depends on the availability of funds and is not final until a grant award notification has been signed and mailed to the applicant.

**Q. How long does it take the Department to complete the review process?**

A. The review process normally takes approximately six months from receipt of applications until award.

**Q. Can changes in the size of subsequent year awards be made after the multi-year budget has been negotiated?**

A. Yes, a grantee can re-negotiate his or her multi-year budget and may be awarded additional funds if sufficient justification is presented to the Secretary and funds are available. Also, funds can be decreased if it is determined that the multi-year budget was overestimated or if available funds have decreased.

**Q. How will funding continuation decisions be made since the Department has phased out the use of non-competing continuation applications.**

A. Grantees will be required to complete annual performance reports that describe the projects' accomplishments, evaluations, and finances. These performance reports, along with other information, will be used by the Department to decide whether to continue funding projects.



## **APPLICATION NARRATIVE INSTRUCTIONS**

Before preparing the narrative, please see the **Notice of Closing Date** included in this package for mandatory format and invitational priorities.

Applicants should carefully read all the information included in this application package, especially the budget instructions, the program regulations, and the technical review forms which contain the program evaluation criteria for a research project, a survey or a study as well as for a project to develop instructional materials.

The following is a suggested narrative format for applications:

1. Begin with a one-page abstract summarizing the project.
2. Describe the proposed project according to the selection criteria listed in the appropriate technical review form included in this package. Follow the selection criteria in the order they are listed in the appropriate technical review form.
3. Notice there is one technical review form for research, a study and a survey (01), and one technical review form for a project to develop instructional materials (03).
4. Within the framework of the selection criteria identify the population to be served, and describe in detail how program activities will be accomplished.
5. Include a plan of operation for each year for which program funds are requested (or an integrated plan of operation covering all three years).
6. Provide an itemized budget, showing both Federal and non-Federal contributions, for each year for which funding is requested.
7. Include any other pertinent information that might assist the Secretary in reviewing the application.
8. On the ED Form 424 (Application for Federal Education Assistance), you must indicate in Box 13 whether this application is for a RESEARCH PROJECT (01) or an INSTRUCTIONAL MATERIALS PROJECT (03).
9. A complete application must be submitted through the web site: <http://e-grants.ed.gov>

### **Performance Reports**

For requests to continue multi-year grants, grantees must submit an annual performance report to the Evaluation of Exchange, Language, International, and Area Studies (EELIAS). The performance report should include the most current performance and financial expenditure information to date.

To receive funding for each subsequent budget period(s), the grantee must demonstrate that substantial progress was made in the previous funding period.

A final Performance Report is required 90 days after the expiration of a grant. Please see enclosed Closing Date Notice for more details.

## **PARITY GUIDELINES BETWEEN PAPER AND ELECTRONIC APPLICATIONS:**

We are requiring that applications for grants under this program be submitted electronically using the Electronic Grant Application System (e-Application). The system, formerly e-GAPS (Electronic Grant Application System), allows an applicant to submit a grant application to the Department of Education electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION visit the following address:

<http://e-grants.ed.gov>

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

In addition to e-APPLICATION, this program uses the electronic peer review (e-READER) system. The Department is increasing the number of discretionary programs offering grantees the use of the electronic annual performance reporting (e-REPORTS) system.

If you have requested a waiver of the electronic submission requirement, to help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- Submit your application on 8 ½" by 11" paper.
- Leave a 1-inch margin on all sides.
- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

3. Applicant's T-I-N |\_\_\_\_| |\_\_\_\_| - |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

4. Catalog of Federal Domestic Assistance #: **84.** |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## Application Information

### 9. Type of Submission:

*-PreApplication*      *-Application*  
\_\_\_\_ Construction      \_\_\_\_ Construction  
\_\_\_\_ Non-Construction      \_\_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_\_ Yes (*Date made available to the Executive Order 12372 process for review*): \_\_\_\_/\_\_\_\_/\_\_\_\_

\_\_\_\_ No (*If "No," check appropriate box below.*)

\_\_\_\_ Program is not covered by E.O. 12372.

\_\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date:

End Date:

## Estimated Funding

14a. Federal \$ \_\_\_\_\_ . 00

b. Applicant \$ \_\_\_\_\_ . 00

c. State \$ \_\_\_\_\_ . 00

d. Local \$ \_\_\_\_\_ . 00

e. Other \$ \_\_\_\_\_ . 00

f. Program Income \$ \_\_\_\_\_ . 00

g. TOTAL \$ \_\_\_\_\_ . 00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (*Please type or print name clearly.*) \_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

Organizational Unit

6. Novice Applicant \_\_\_\_ Yes \_\_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_\_ Yes \_\_\_\_ No  
(*If "Yes," attach an explanation.*)

8. Type of Applicant (*Enter appropriate letter in the box.*) |\_\_\_\_|

A - State      F - Independent School District  
B - Local      G - Public College or University  
C - Special District      H - Private, Non-profit College or University  
D - Indian Tribe      I - Non-profit Organization  
E - Individual      J - Private, Profit-Making Organization

K - Other (*Specify*): \_\_\_\_\_

12. Are any research activities involving human subjects planned at any time during the proposed project period?  
\_\_\_\_ Yes (Go to 12a.) \_\_\_\_ No (Go to item 13.)

12a. Are **all** the research activities proposed designated to be exempt from the regulations?

\_\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_\_ No (Provide Assurance #): \_\_\_\_\_

13. Descriptive Title of Applicant's Project: \_\_\_\_\_

## Instructions for Form ED 424

**1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

**2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.

**3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.

**4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.

**Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.

**Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."

**Type of Applicant.** Enter the appropriate letter in the box provided.

**Type of Submission.** See "Definitions for Form ED 424" attached.

**10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."

**11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).

**12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. **According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.** If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: **U.S. Department of Education, Washington, D.C. 20202-4651.** If you have comments or concerns regarding the status of your individual submission of this form write directly to: **Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725**

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not***

*apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*



U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004  
Expiration Date: 06/30/05

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY

U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☐ Yes ☐ No
- (2) If yes, please provide the following information:  
Period Covered by the Indirect Cost Rate Agreement: From: / /  To: / /  (mm/dd/yyyy)  
Approving Federal agency: ☐ ED ☐ Other (please specify):
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
☐ Is included in your approved Indirect Cost Rate Agreement? or ☐ Complies with 34 CFR 76.564(c)(2)?



Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs(Lines 9-11)						

**SECTION C – BUDGET NARRATIVE** (see instructions)

## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2).

Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to

which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:  
<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 708-7770 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

**INTERNATIONAL RESEARCH AND STUDIES (84.017A)**  
**TECHNICAL REVIEW FORM -- Instructional Materials - 03**

*Applicant's Name:* \_\_\_\_\_

*Application  
Number:* \_\_\_\_\_

*Project Director's Name:* \_\_\_\_\_

**Part I - CRITERIA PROFILE**

<i>Criteria</i>	<i>Maximum</i>	<i>Points Assigned</i>
1. Need	10	0
2. Usefulness of product to others	10	0
3. Account of related materials	10	0
4. Likelihood of achieving results	10	0
5. Expected contribution to other programs	10	0
6. Plan of Operation	10	0
7. Quality of Personnel	10	0
8. Budget and cost effectiveness	10	0
9. Evaluation plan	5	0
10. Adequacy of resources	5	0
11. Description of final format	5	0
12. Provisions for pre-testing and revision	5	0
<b>TOTAL POINTS</b>	<b>100</b>	<b>0</b>

**Part II - COMMENTS**

*Please summarize the application's strengths and weaknesses:*

(Please continue on page two)

**SIGNATURE OF REVIEWER**

*I have reviewed this application in accordance with the criteria published in the FEDERAL REGISTER.*

(Signature) \_\_\_\_\_

(Date)  
\_\_\_\_\_



Unacceptable 0 Points	Insufficient Information 1 – 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
<p>1. NEED FOR THE PROJECT (Rate this criterion from 0 to 10 points)</p> <p>a) Is there a need for the proposed materials(s) in the educational area to be served?</p> <p>b) Are the (i) language(s); (ii) region or country; or, (iii) the issues or studies, for the study of which the materials are to be developed, of sufficient priority for, and of, potential significance to the national interest to warrant support at this time?</p> <p>Comments:</p>					
					POINTS
<p>2. USEFULNESS OF THE PRODUCT TO OTHERS (Rate this criterion from 0 to 10)</p> <p>Will the proposed materials have a good potential for being utilized by appropriate educational programs in other institutions in the United States?</p> <p>Comments:</p>					
					POINTS
<p>3. ACCOUNT OF RELATED MATERIALS (Rate this criterion from 0 to 10)</p> <p>a) Have all the existing, similar materials (for the study of the language(s), region or country, or issue in question) been cited and accounted?</p> <p>b) Is there a critical commentary on the adequacy of such similar materials and is this commentary accurate?</p> <p>c) Will the proposed material(s) duplicate other materials already in existence or already in progress?</p> <p>Comments:</p>					
					POINTS

# Technical Review Form -- Instructional Materials

Page 4

Unacceptable 0 Points	Insufficient Information 1 - 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
<p>4. LIKELIHOOD OF ACHIEVING RESULTS (Rate this criterion from 0 to 10)</p> <p>a) Are the objectives, which the proposed material(s) are to serve, clearly defined?</p> <p>b) Are the outlined methods and procedures for preparing the material(s) practicable and can they be expected to produce the anticipated results?</p> <p>c) Does the application reflect a sufficient degree of knowledge in the pertinent areas to assure a successful completion of the project (e.g., for language materials: modern language pedagogy, modern linguistics theory; for area studies and related materials: history, political and social structure, economics, etc.)?</p> <p>Comments:</p>					
					<div style="border: 1px solid black; width: 100px; height: 40px; margin: 0 auto;"></div> <p style="text-align: center;"><b>POINTS</b></p>
<p>5. EXPECTED CONTRIBUTION TO OTHER PROGRAMS (Rate from 0 to 10)</p> <p>Will the proposed materials contribute significantly to the strengthening, expanding, or improving instructional programs concerned with the language(s), area(s), or international studies in the United States.</p> <p>Comments:</p>					
					<div style="border: 1px solid black; width: 100px; height: 40px; margin: 0 auto;"></div> <p style="text-align: center;"><b>POINTS</b></p>
<p>6. PLAN OF OPERATION (Rate this criterion from 0 to 10)</p> <p>a) Does the design of the project show high quality?</p> <p>b) Is the plan of management effective? Will it ensure proper and effective administration?</p> <p>c) Is there a clear description of how the objectives of the project relate to the purpose of the Section 605 International Research and Studies program?</p> <p>d) Is the way in which the applicant plans to use its resources and personnel to achieve the project objectives appropriate and adequate? Eligible members of racial and ethnic minorities, women, handicapped</p> <p>e) To what extent will the applicant provide equal access treatment for persons, and the elderly?</p> <p>Comments:</p>					
					<div style="border: 1px solid black; width: 100px; height: 40px; margin: 0 auto;"></div> <p style="text-align: center;"><b>POINTS</b></p>

# Technical Review Form -- Instructional Materials

Page 5

Unacceptable 0 Points	Insufficient Information 1 - 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
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## 7. QUALITY OF PERSONNEL (Rate this criterion from 0 to 10)

POINTS

- Is there evidence of professional competence to direct this project on the part of the project director or principal investigator?
- Is there evidence of the qualifications of the other key personnel, if any, to participate in the project?
- Is the amount of time that the key person(s) plan to commit to the project appropriate to the project's need?
- To what extent does the applicant, as part of its non-discriminatory employment practices, encourage applications for employment from members of groups that have been traditionally underrepresented, such as members of ethnic minorities, women, handicapped persons, and the elderly?

Comments:

## 8. BUDGET AND COST EFFECTIVENESS (Rate this criterion from 0 to 10)

POINTS

- Is the proposed budget adequate to support the proposed project activities?
- Are the costs reasonable in relation to the anticipated product (or objectives) of the project?

Comments:

# Technical Review Form -- Instructional Materials

Page 6

Unacceptable 0 Points	Insufficient Information 1	Poor 2	Average 3	Good 4	Excellent 5	
<p>9. EVALUATION PLAN (Rate this criterion from 0 to 5)</p> <p>a) Does the application include a plan for evaluating periodically the work accomplished under the project?</p> <p>b) Is there a realistic time schedule for accomplishing the work?</p> <p>Comments:</p>						<input type="text"/> <b>POINTS</b>
<p>10. ADEQUACY OF RESOURCES (Rate this criterion from 0 to 5)</p> <p>a) Does the applicant have adequate facilities to conduct the project?</p> <p>b) Are the equipment and supplies which the applicant plans to use adequate?</p> <p>Comments:</p>						<input type="text"/> <b>POINTS</b>
<p>11. DESCRIPTION OF FINAL FORMAT (Rate this criterion from 0 to 5)</p> <p>Are the contents and final form of the projected material(s) sufficiently well described?</p> <p>Comments:</p>						<input type="text"/> <b>POINTS</b>
<p>12. PROVISIONS FOR PRETESTING AND REVISION (Rate this criterion from 0 to 5)</p> <p>Has sufficient provision been made for pretesting the material(s) (with students and/or in the classroom) for possible revision before general dissemination or publication?</p> <p>Comments:</p>						<input type="text"/> <b>POINTS</b>



<b>INTERNATIONAL RESEARCH AND STUDIES (84.017A)</b>		
<b>TECHNICAL REVIEW FORM Research, Studies &amp; Surveys - 01</b>		
<b>Applicant's Name:</b> _____	<b>Application Number:</b> _____	
<b>Project Director's Name:</b> _____		
<b>Part I - CRITERIA PROFILE</b>		
Criteria	Maximum	Points Assigned
1. Need	10	
2. Usefulness of expected results	10	
3. Development of new knowledge	10	
4. Formulation of problem and knowledge of related research	10	
5. Specificity of statement of procedures	10	
6. Adequacy of methodology and scope of project	10	
7. Plan of operation	10	
8. Quality of personnel	10	
9. Budget and cost-effectiveness	10	
10. Evaluation plan	5	
11. Adequacy of resources	5	
<b>TOTAL POINTS</b>	<b>100</b>	
<b>Part II - COMMENTS</b>		
<b>Please summarize the application's strengths and weaknesses:</b>		
<b>SIGNATURE OF REVIEWER</b>		
<i>I have reviewed this application in accordance with the criteria published in the FEDERAL REGISTER.</i>		
_____ (Signature)	_____ Date	



Unacceptable Points	0	Insufficient Information 1 - 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
<p>1. NEED FOR THE PROJECT (Rate this criterion from 0 to 10 points)</p> <p>In evaluating this project, under this criterion, please consider the following questions:</p> <p>a) Is there a need for the proposed research or study in the educational field to be served?</p> <p>b) If the project concerns an assessment of needs in any of the areas mandated under Section 605, is the project likely to be helpful in determining present or future needs in foreign language and other fields in the context of the national interest of the United States?</p> <p>Comments:</p>						
						POINTS
<p>2. USEFULNESS OF EXPECTED RESULTS (Rate this criterion from 0 to 10)</p> <p>Please consider the following questions:</p> <p>a) Do the anticipated research results have a good potential for being utilized by other projects or programs for similar educational purposes?</p> <p>b) Are the anticipated research results --if pertinent-- replicable?</p> <p>Comments:</p>						
						POINTS
<p>3. DEVELOPMENT OF NEW KNOWLEDGE (Rate this criterion from 0 to 10)</p> <p>To what extent can the proposed activity be expected to develop new knowledge which will contribute to the purposes of the International Education programs (under Title VI, Part A, Higher Education Act) ?</p> <p>Comments:</p>						
						POINTS

Unacceptable Points	0	Insufficient Information 1 - 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
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4. FORMULATION OF PROBLEMS AND KNOWLEDGE OF RELATED RESEARCH (Rate this criterion from 0 to 10)

- a) Are the problems, questions, or hypotheses to be dealt with well formulated?
- b) Does this formulation reflect adequate knowledge of other, past or on-going, related research?

Comments:

POINTS

5. SPECIFICITY OF STATEMENT OF PROCEDURES (Rate this criterion from 0 to 10)

- a) Is the statement of procedures to be followed adequate and specific (including whenever applicable, information on sampling techniques, controls, data to be gathered, and/or statistical and other analyses to be made)?

Comments:

POINTS

6. ADEQUACY OF RESEARCH METHODOLOGY AND SCOPE OF PROJECT (Rate this criterion from 0 to 10)

- a) Are the proposed research, teaching or testing methods appropriate to the aims of this project and are they adequate to achieve the expected results?
- b) Are the size, scope, and duration of the project sufficient so as to secure meaningful research results?

Comments:

POINTS

# Technical Review Form -- Research, Studies & Surveys

Page 5

Unacceptable Points	0	Insufficient Information 1 - 2	Poor 3 - 4	Average 5 - 6	Good 7 - 8	Excellent 9 - 10
<p>7. PLAN OF OPERATION (Rate this criterion from 0 to 10)</p> <p>a) Does the design of the project show high quality?</p> <p>b) How effective is the plan of management ? To what extent will it ensure proper and efficient administration?</p> <p>c) Is there a clear description of how the objectives of the project relate to the purpose of the (Section 605) program?</p> <p>d) In what way does the applicant plan to use its resources and personnel to achieve each objective?</p> <p>e) To what extent will the applicant provide equal access treatment for eligible members of racial and ethnic minority groups, women, handicapped persons; and the elderly?</p> <p>Comments:</p>						
						POINTS
<p>8. QUALITY OF PERSONNEL (Rate this criterion from 0 to 10)</p> <p>a) Is there evidence of the project director's (or principal investigator's) professional competence and experience to direct this research?</p> <p>b) Is there evidence of the qualifications of the other key personnel, if any, to participate in the project?</p> <p>c) Is the amount of time that the persons referred to under (a) and (b), above plan to commit to the project appropriate to the project's needs?</p> <p>d) To what extent does the applicant, as part of its non-discriminatory employment practices, encourage applications for employment from members of groups that have been traditionally under-represented, such as members of ethnic minority groups, women, handicapped persons, and the elderly?</p> <p>Comments:</p>						
						POINTS
<p>9. BUDGET AND COST EFFECTIVENESS</p> <p>a) Is the proposed budget adequate to support the proposed project activities?</p> <p>b) Are the costs reasonable in relation to the objectives of the project?</p> <p>Comments:</p>						
						POINTS

# Technical Review Form -- Research, Studies & Surveys

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Unacceptable Points	0	Insufficient Information 1	Poor 2	Average 3	Good 4	Excellent 5
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## 10. PLAN OF EVALUATION (Rate this criterion from 0 to 5)

- a) Does the application show methods of evaluation that are appropriate for the project and, to the extent possible, are the objective(s) and the product data quantifiable?

POINTS

Comments:

The plan of evaluation is not well developed or described

## 11. ADEQUACY OF RESOURCES (Rate this criterion from 0 to 5)

- a) Does the applicant have adequate facilities to conduct the project?  
b) Are the equipment and supplies which the applicant plans to use adequate?

POINTS

Comments:

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

**As the duly authorized representative of the applicant I certify that the applicant:**

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1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management

program developed under the Coastal Zone Management Act of 1972 (16 U.S.C., 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C., 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C., 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C., 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C., 469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C., 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C., 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ☐ Audits of States, Local Governments, and Non-Profit Organizations. ☐

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back



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## **CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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### **1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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### **2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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### **3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

## DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee Tier _____, if Known  <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee,</b> Enter Name and Address of Prime:  <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	

## **INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

### What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

### How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the International Education Programs are part of the Department's plan for meeting Goal 5: Enhance the Quality and Access to Postsecondary and Adult Education.

### What are the Performance Indicators for the International Education Programs?

The Department's specific goal for the International Education Programs is "to meet the nation's security and economic needs through the development and maintenance of a national capacity in foreign languages, and area and international studies." The objective and performance indicators are as follows:

1. **Maintain a U.S. higher education system with the capacity to produce experts in less commonly taught languages and area studies who are capable of contributing to the needs of U.S. government, academic, and business institutions.**
  - (1.1) Title VI supported institutions provide the majority of the instruction in foreign languages, especially in less commonly taught languages.
  - (1.2) Percentage of graduates of Title VI supported programs report that they found employment that utilize their language and/or area expertise.

## APPLICATION TRANSMITTAL INSTRUCTIONS

- A. *ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.*

An original and two copies of an application for an award must be mailed or hand-delivered by the application deadline date unless it is submitted electronically.

### Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

### Applications Delivered by Mail

Applications sent by mail must be addressed to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.017  
7<sup>th</sup> & D Streets, SW  
Room 3671  
Regional Office Building 3  
400 Maryland Avenue, SW.  
Q. Washington, D.C. 20202-4725**

Applicants must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application.

**Applications Delivered by Hand/Courier Service**

An application that is hand-delivered must be taken to:

**U.S. Department of Education  
Application Control Center  
Room 3671  
Regional Office Building 3  
7th & D Streets, SW.  
Washington, D.C. 20202-4725**

The Application Control Center accepts deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

The Center accepts application deliveries must use the D Street entrance only. A person delivering an application must show identification to enter the building.



## **IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

### **GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected  
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

### **CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**ED FORM 5348, 8 '92  
REPLACES ED FORM 5348, 6 '86, WHICH IS OBSOLETE**

## GEPA SECTION 427 NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to

address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

## ESTIMATED BURDEN STATEMENT FOR GEPA REQUIREMENTS

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248.

## **CHECKLIST FOR APPLICATION PACKAGE**

- [ ] Does the application include each of the following?
  - [ ] Cover Page (Standard Form 424 with an original signature of the applicant's authorizing official)
  - [ ] Budget Form (ED 524)
  - [ ] Detailed Budget for each year of the grant
  - [ ] Abstract
  - [ ] Application Narrative
  - [ ] Appendices: Timeline, Biographical Information
  - [ ] Information to address the provision specified in Section 427 of GEPA
  - [ ] Assurances, Certifications and Disclosure Forms

## **GRANT APPLICATION RECEIPT ACKNOWLEDGMENT**

If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call

U.S. Department of Education  
Application Control Center  
(202) 708-9493

**(If your application is late, we will notify you that we will not consider the application.)**

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page	<a href="http://www.ed.gov">http://www.ed.gov</a>
OCFO Web Page	<a href="http://www.ed.gov/offices/OCFO/grants.html">http://www.ed.gov/offices/OCFO/grants.html</a>
OCFO Contracts Page	<a href="http://www.ed.gov/offices/OCFO/contracts.html">http://www.ed.gov/offices/OCFO/contracts.html</a>

(If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you.) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

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